

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

| | | | |
|--|---|-----------------|----------------|
| Attorney Docket No. | | 500155.06 | March 16, 2004 |
| First Inventor or Application Identifier | | Guy F. Hudson | |
| Title | SYSTEMS FOR MAKING AND USING BI-MODAL ABRASIVE SLURRIES FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC-DEVICE SUBSTRATES | | |
| Express Mail Label No. | | EL 646074244 US | |

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

| | | | |
|--|--|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy) (Submit an original and a duplicate for fee processing) | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) | | |
| 2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) | | |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages] (preferred arrangement set forth below) | 31 | a. <input type="checkbox"/> Computer-Readable Form (CRF) | |
| - Descriptive Title of the Invention | | | |
| - Cross References to Related Applications | | | |
| - Statement Regarding Fed sponsored R & D | | | |
| - Reference to Microfiche Appendix | | | |
| - Background of the Invention | | | |
| - Brief Summary of the Invention | | | |
| - Brief Description of the Drawings (if filed) | | | |
| - Detailed Description | | | |
| - Claim(s) | | | |
| - Abstract of the Disclosure | | | |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] | 5 | b. <input type="checkbox"/> Specification Sequence Listing on: | |
| i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or | | | |
| ii. <input type="checkbox"/> paper | | | |
| c. <input type="checkbox"/> Statement verifying identity of above copies | | | |
| 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] | 1 | ACCOMPANYING APPLICATION PARTS | |
| a. <input type="checkbox"/> Newly executed (original or copy) | | | 9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i) |
| b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) | | | 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) |
| i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) | | | 11. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee) |
| 6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76) | | 12. <input type="checkbox"/> English Translation Document (if applicable) | |

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

Continuation Divisional Continuation-In-Part (CIP) of prior Application No.: 10/155,203 Filed May 23, 2002

Prior application information: Examiner Lan Vinh Group / Art Unit 1765

 Incorporation By Reference (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

Claims the benefit of Provisional Application No. _____

CORRESPONDENCE ADDRESS

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Customer No. 27,076TYPED or PRINTED NAME Mark W. Roberts, Ph.D.REGISTRATION NO. 46,160SIGNATURE Mark W. RobertsDate 4-1-04

FEE TRANSMITTAL SHEET (FOR FY 2004)

| Complete if Known | |
|----------------------|-----------------------|
| Express Mail No. | EL 646074244 US |
| Filing Date | Concurrently Herewith |
| First Named Inventor | Guy F. Hudson |
| Group Art Unit | Not Yet Assigned |
| Examiner | Not Yet Assigned |
| Atty. Docket Number | 500155.06 |

METHOD OF PAYMENT (Check One)

1. The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1001 | 770 | 2001 | 385 | <input checked="" type="checkbox"/> Utility Filing Fee |
| 1002 | 340 | 2002 | 170 | <input type="checkbox"/> Design Filing Fee |
| 1003 | 530 | 2003 | 265 | <input type="checkbox"/> Plant Filing Fee |
| 1004 | 770 | 2004 | 385 | <input type="checkbox"/> Reissue Filing Fee |
| 1005 | 160 | 2005 | 80 | <input type="checkbox"/> Provisional Filing Fee |

Subtotal (1) **\$ 770**

2. EXTRA CLAIM FEES

| Current Claims | Prior | Extra | Fee | Fee Paid |
|---------------------------|-------|-------|------|-------------------------|
| Total | 31 | - 20 | = 11 | x \$ 18 = \$ 198 |
| Ind. | 3 | - 3 | = 0 | x \$ 86 = \$ 0 |
| Multiple Dependent Claims | | | x \$ | = \$ |

Subtotal (2) **\$ 198**

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent Claim |
| 1204 | 86 | 2204 | 43 | Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | Reissue claims in excess of 20 and over original patent |

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Description | Fee paid |
|--------------|--------------|--|----------|
| 1051 | 130 | 2051 65 Surcharge - Late filing fee or oath | \$ |
| 1052 | 50 | 2052 25 Surcharge - late provisional filing fee or cover sheet | \$ |
| 1053 | 130 | 1053 130 Non-English specification | \$ |
| 1812 | 2,520 | 1812 2,520 For Filing a Request for ex parte Reexamination | \$ |
| 1804 | 920 | 1804 920 Requesting publication of SIR prior to Examiner action | \$ |
| 1805 | 1,840 | 1805 1,840 Requesting publication of SIR after Examiner action | \$ |
| 1251 | 110 | 2251 55 Extension for reply within first month | \$ |
| 1252 | 420 | 2252 210 Extension for reply within 2 nd month | \$ |
| 1253 | 950 | 2253 475 Extension for reply within 3 rd month | \$ |
| 1254 | 1,480 | 2254 740 Extension for reply within 4 th month | \$ |
| 1255 | 2,010 | 2255 1,005 Extension for reply within 5 th month | \$ |
| 1401 | 330 | 2401 165 Notice of Appeal | \$ |
| 1402 | 330 | 2402 165 Filing a brief in support of an appeal | \$ |
| 1403 | 290 | 2403 145 Request for oral hearing | \$ |
| 1814 | 110 | 2814 55 Terminal Disclaimer Fee | \$ |
| 1452 | 110 | 2452 55 Petition to revive – unavoidable | \$ |
| 1453 | 1,330 | 2453 665 Petition to revive – unintentional | \$ |
| 1501 | 1,330 | 2501 665 Utility/Reissue issue fee | \$ |
| 1502 | 480 | 2502 240 Design issue fee | \$ |
| 1503 | 640 | 2503 320 Plant issue fee | \$ |
| 1460 | 130 | 1460 130 Petitions to the Commissioner | \$ |
| 1807 | 50 | 1807 50 Processing fee under 37 CFR 1.17(q) | \$ |
| 1806 | 180 | 1806 180 Submission of IDS | \$ |
| 8021 | 40 | 8021 40 Recording each patent assignment per property (times number of properties) | \$ |
| 1801 | 770 | 2801 385 Request for Continued Examination (RCE) | \$ |

Other fee (specify)

Subtotal (3) **\$ 0**

Total Amount of Payment: **\$ 968**

Submitted by:

Name: Mark W. Roberts, Ph.D. Reg. No.: 46,160

Telephone: (206) 903-8800

Date: *4-1-04*

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Guy F. Hudson

Attorney Docket No.: 500155.06

Filed : April 1, 2004

Title : SYSTEMS FOR MAKING AND USING BI-MODAL ABRASIVE SLURRIES
FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF
MICROELECTRONIC-DEVICE SUBSTRATES

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

MAIL STOP PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 646074244 US, on April 1, 2004, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,
DORSEY & WHITNEY LLP



/ for West Courier

MWR:pep

Enclosures:

Postcard
Check
PTO/SB/05 Utility Patent Application Transmittal
Application Data Sheet
Fee Transmittal Sheet (+ copy)
General Authorization
Preliminary Amendment
Specification, Claims, Abstract (31 pages)
5 Sheets of Drawings (Figures 1-5)
Copy of Declaration
Copy of Election and Power of Attorney
Copy of Revocation and Substitute Power of Attorney
Information Disclosure Statement and PTO-1449

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Guy F. Hudson

Attorney Docket No.: 500155.06

Filed : Concurrently Herewith

Title : SYSTEMS FOR MAKING AND USING BI-MODAL ARASIVE SLURRIES FOR
MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF
MICROELECTRONIC-DEVICE SUBSTRATE ASSEMBLIES**GENERAL AUTHORIZATION**

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

4-1-04



Mark W. Roberts, Ph.D.
Registration No. 46,160

MWR:pep

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